

§ 250.1

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- 250.110 Small entities for purposes of the Regulatory Flexibility Act.

AUTHORITY: 15 U.S.C. 79c, 79f(b), 79i(c)(3), 79t, unless otherwise noted.

SOURCE: Rule U, 6 FR 2015, Apr. 19, 1941, unless otherwise noted.

NOTE: In §§ 250.1 to 250.105 the numbers to the right of the decimal point correspond with the respective rule numbers of Regulation U.

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17 CFR Ch. II (4-1-00 Edition)

REGISTRATION AND GENERAL EXEMPTIONS

§ 250.1 Registration.

(a) *Notification of registration.* Notifications of registration pursuant to section 5(a) of the act (49 Stat. 812; 15 U.S.C. 79(e)) shall be filed on Form U-5A.

(b) *Registration statement.* Every registered holding company and person registering as a company proposing to become a holding company, shall file with the Commission a registration statement on Form U-5B within 90 days after becoming a registered holding company.

(c) *Annual report.* Every registered holding company shall file, on or before the first of May in the year following that in which it filed its registration statement, and in every succeeding year, an annual report on Form U5S (§259.5s of this chapter): *Provided, however,* That where any holding company system includes more than one registered holding company, the annual report shall be filed by the top registered holding company in such system and shall be signed on behalf of each registered holding company in such system by the authorized officer of each such registered holding company.

[Rule U, 6 FR 2015, Apr. 19, 1941, as amended at 16 FR 2576, Mar. 21, 1951; 37 FR 1472, Jan. 29, 1972; 61 FR 49961, Sept. 24, 1996]

§ 250.2 Exemption of holding companies which are intrastate or predominantly operating companies.

(a) *General provisions.* Any holding company, and every subsidiary company thereof as such, shall, upon the filing of an exemption statement on Form U-3A-2 and subject to the filing of such exemption statement on or before March 1 of each year thereafter, and subject to the provisions of Rule U-6, be exempt from all the provisions of the act and rules thereunder, except section 9(a)(2) of the act, if:

(1) Such holding company, and every subsidiary company thereof which is a public utility company from which such holding company derives, directly or indirectly, any material part of its income, are predominantly intrastate